

## United States Patent and Trademark Office



APPLICATION NO.	ATION NO. FILING DATE FIRST NAMED		ATTORNEY DOCKET NO.	CONFIRMATION NO.	
09/693,568 10/20/2000		Karun Philip	12023-003001	7790	
26161	7590 01/10/2006	EXAMINER		INER	
FISH & RICHARDSON PC P.O. BOX 1022			SUBRAMANIAN, NARAYANSWAMY		
	IS, MN 55440-1022		ART UNIT PAPER NUMBER		
			3624		

DATE MAILED: 01/10/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

			Application No.	Applicant(s)				
Office Action Summary			09/693,568	PHILIP ET AL.				
		E	xaminer	Art Unit				
			larayanswamy Subramanian	3624				
The MAILING DATE of this communication appears on the cover sheet with the correspondence address Period for Reply								
A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 1 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.  - Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.  - If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.  - Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).								
Status								
1)🖂	Responsive to communication(s) fil	ed on <u>26 Octo</u>	ober 2005.					
·	•		ction is non-final.					
3)□	Since this application is in condition for allowance except for formal matters, prosecution as to the merits is							
closed in accordance with the practice under Ex parte Quayle, 1935 C.D. 11, 453 O.G. 213.								
Disposition of Claims								
4)⊠ Claim(s) <u>1-24</u> is/are pending in the application.								
4a) Of the above claim(s) is/are withdrawn from consideration.								
5) Claim(s) is/are allowed.								
6)□	Claim(s) is/are rejected.		•					
•	Claim(s) is/are objected to.							
8)⊠	Claim(s) 1-24 are subject to restrict	ion and/or ele	ection requirement.					
Applicati	on Papers							
9)[	The specification is objected to by the	ne Examiner.						
10)☐ The drawing(s) filed on is/are: a)☐ accepted or b)☐ objected to by the Examiner.								
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).								
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).								
11) The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.								
Priority (	ınder 35 U.S.C. § 119							
12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f). a) All b) Some * c) None of:								
	1.☐ Certified copies of the priority documents have been received.							
2. Certified copies of the priority documents have been received in Application No								
3. Copies of the certified copies of the priority documents have been received in this National Stage								
application from the International Bureau (PCT Rule 17.2(a)).								
* See the attached detailed Office action for a list of the certified copies not received.								
<b>A</b> 44 <b>!</b>								
Attachmen	t(s) e of References Cited (PTO-892)		4) Interview Summary	(PTO-413)				
2) Notic	e of Draftsperson's Patent Drawing Review (		Paper No(s)/Mail Da	ate				
	mation Disclosure Statement(s) (PTO-1449 or No(s)/Mail Date	r PTO/SB/08)	5)  Notice of Informal P 6)  Other:	of Informal Patent Application (PTO-152)				

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## **DETAILED ACTION**

1. This office action is in response to applicants' communications filed on June 13, 2005 and October 26, 2005. Claims 1-24 are currently pending in the application. Amendments to claims 1, 8, 11 and 17 have been entered. Claims 1-24 are subject to Election/restrictions as discussed below.

## Election/Restrictions

- 2. Restriction to one of the following inventions is required under 35 U.S.C. 121:
- I. Claims 1-7, drawn to a system for managing financial assets comprising: a computer system to receive information regarding financial assets; a storage system coupled to the computer system, the mass storage system storing the information, and a computer program to execute on the computer system, comprising computer instructions to cause the computer system to: segregate the financial assets into a first category and a second category according to a first set of abstraction rules that define a hierarchy of the first and second categories of financial assets; and segregate the financial assets contained within a first one of each of the first and second categories into asset classes according to a second set of abstraction rules that define a hierarchy of the asset classes, classified in class 705, subclass 36R.
- II. Claims 8-16, drawn to a computer-based method of managing financial assets comprising: providing a pool of financial assets stored electronically on a computer; abstracting information regarding a subgroup of the financial assets within the pool according to at least a first abstraction rule stored electronically on a computer, the first abstraction rule defining the subgroup according to user-defined specifications for purchasing financial assets; summarizing using a computer the information provided by operation of the first abstraction rule; providing

information electronically regarding individual financial assets within the subgroup of the pool according to at least a second abstraction rule stored electronically on a computer, the second abstraction rule defining at least one of the individual financial assets according to user-defined specifications for purchasing financial assets, classified in class 705, subclass 36R.

III. Claims 17-24, drawn to a computer program product, stored on a computer readable medium, for managing accounts receivable, the program comprising instructions for causing a computer to: receive and store information related to financial assets; define a pool of financial assets in accordance with at least a first abstraction rule that defines a hierarchy of nodes, with at least some of the nodes corresponding to financial assets in the pool of financial assets; abstract information regarding a subgroup of the financial assets within the pool according to at least a second abstraction rule, second abstraction rule defining the subgroup according to user-defined specifications for purchasing financial assets; summarize the information provide by operation of the first abstraction rule; provide information regarding financial assets within the subgroup of the pool according to at least a third abstraction rule stored electronically on a computer, the third abstraction rule defining at least one of the individual financial assets according to user-defined specifications for purchasing financial assets, classified in class 705, subclass 36R.

The inventions are distinct, each from the other because of the following reasons:

3. Inventions I and II are related as sub combinations disclosed as usable together in a single combination. The sub combinations are distinct from each other if they are shown to be separately usable. In the instant case, invention I relates to a system for managing financial assets, whereas invention II relates to a computer-based method of managing financial assets. It

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is evident from the steps of the two inventions that the inventions are different in scope and utility. See MPEP § 806.05(d). Because these inventions are distinct for the reasons given above and the search required for Group I is not required for Group II, restriction for examination purposes as indicated is proper, even though they are classified in the same class and subclass.

Inventions I and III are related as sub combinations disclosed as usable together in a single combination. The sub combinations are distinct from each other if they are shown to be separately usable. In the instant case, invention I relates to a system for managing financial assets, whereas invention III relates to a computer program product, stored on a computer readable medium, for managing accounts receivable. It is evident from the steps of the two inventions that the inventions are different in scope and utility. See MPEP § 806.05(d). Because these inventions are distinct for the reasons given above and the search required for Group I is not required for Group III, restriction for examination purposes as indicated is proper, even though they are classified in the same class and subclass.

Inventions III and II are related as sub combinations disclosed as usable together in a single combination. The sub combinations are distinct from each other if they are shown to be separately usable. In the instant case, invention III relates to a computer program product, stored on a computer readable medium, for managing accounts receivable, whereas invention II relates to a computer-based method of managing financial assets. It is evident from the steps of the two inventions that the inventions are different in scope and utility. See MPEP § 806.05(d). Because these inventions are distinct for the reasons given above and the search required for Group III is not required for Group II, restriction for examination purposes as indicated is proper, even though they are classified in the same class and subclass.

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4. Applicant is advised that reply to this requirement to be complete must include an

election of the invention to be examined even though the requirement be traversed (37 CFR

1.143).

5. Any inquiry concerning this communication or earlier communications from the

examiner should be directed to Dr. Narayanswamy Subramanian whose telephone number is

(571) 272-6751. The examiner can normally be reached Monday-Thursday from 8:30 AM to

7:00 PM. If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, Vincent Millin can be reached at (571) 272-6747. The fax number for Formal or

Official faxes and Draft to the Patent Office is (571) 273-8300.

Information regarding the status of an application may be obtained from the Patent

Application Information Retrieval (PAIR) system. Status information for published applications

may be obtained from either Private PMR or Public PAIR. Status information for unpublished

applications is available through Private PMR only. For more information about the PMR

system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR

system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Dr. N. Subramanian

January 5, 2006